TRAINING, AUTHORISATION AND QUALITY CONTROL
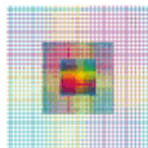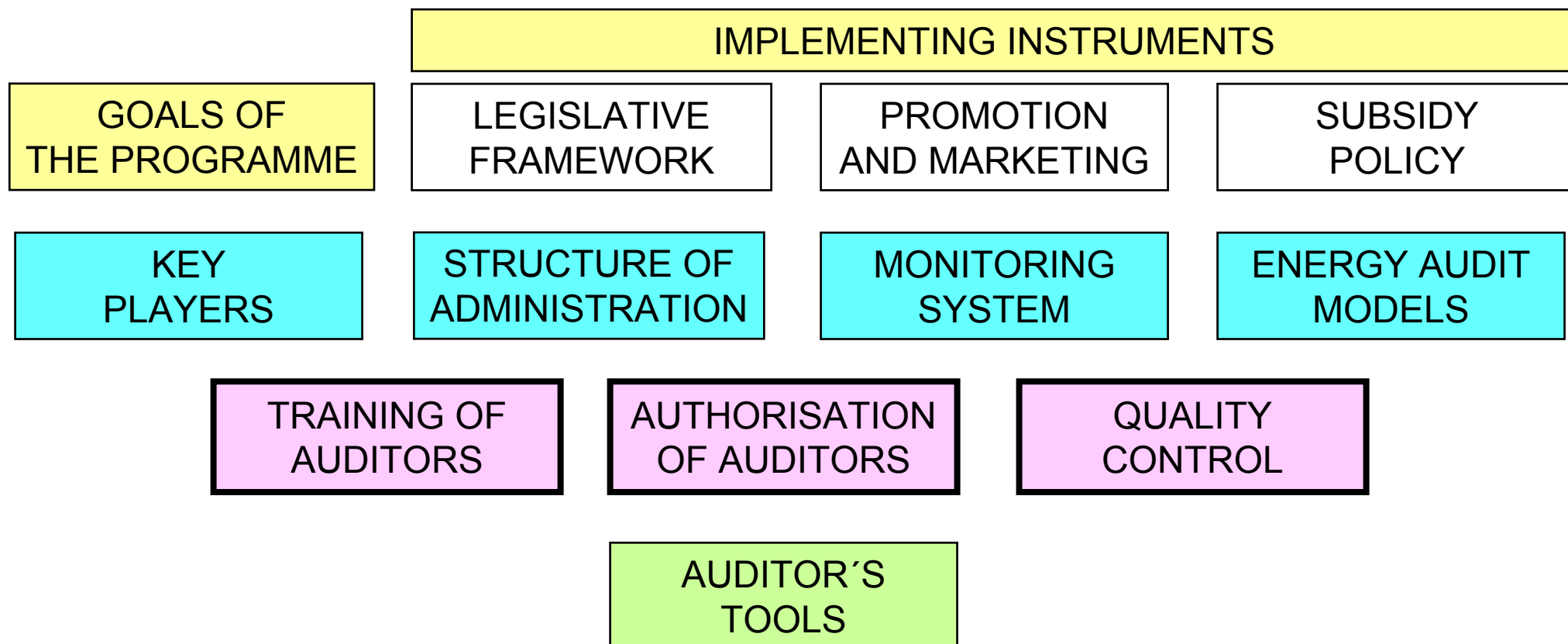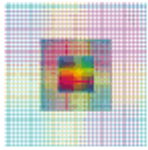
TOPIC REPORT

DRAFT 30.08.2002

BY

ERJA REINIKAINEN

HEIKKI VÄISÄNEN
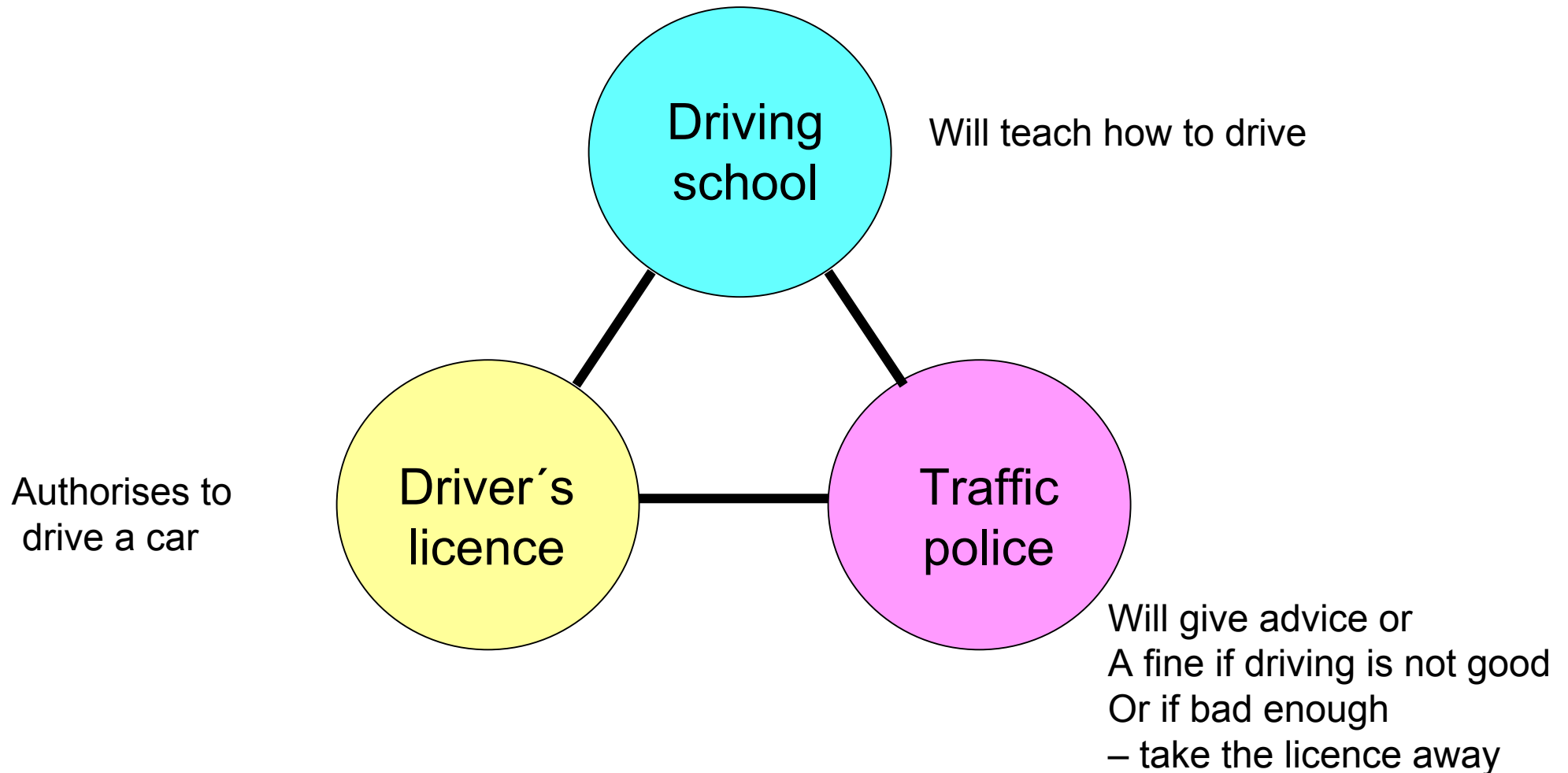
Motiva

THE 12 ELEMENTS OF AN ENERGY AUDIT PROGRAMME

IMPLEMENTING INSTRUMENTS		

GOALS OF THE PROGRAMME	LEGISLATIVE FRAMEWORK	PROMOTION AND MARKETING	SUBSIDY POLICY

KEY PLAYERS	STRUCTURE OF ADMINISTRATION	MONITORING SYSTEM	ENERGY AUDIT MODELS

TRAINING OF AUDITORS	AUTHORISATION OF AUDITORS	QUALITY CONTROL

AUDITOR´S TOOLS

TRAINING, AUTHORISATION AND QUALITY CONTROL

Driving school — Will teach how to drive

Driver´s licence — Authorises to drive a car

Traffic police — Will give advice or A fine if driving is not good Or if bad enough – take the licence away

THE GOAL IS TO ENSURE THE REQUIRED QUALITY
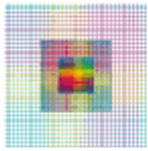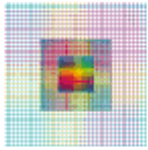
- ALL THESE THREE ELEMENTS - T, A & QC – HAVE AN EFFECT TO THE OUTPUT OF THE EA ACTIVITY

- ALL THESE ELEMENTS CAN BE "TUNED" TO DO ONE PART OF THE JOB

- IN PRINCIPLE (IN THE PERFECT WORLD)
  - THOROUGH MANDATORY TRAINING PRODUCES "SUPER AUDITORS"
  - TIGHT AUTHORISATION ALLOWS ONLY "SUPER AUDITORS" DO EAs
  - "HIGH EFFICIENCY FILTER" QC ACCEPTS ONLY SUPER EA REPORTS

- BUT IN REAL LIFE
  - THESE ARE MORE OR LESS THEORETHICAL OPTIONS
  - PERFECTION WOULD BE VERY COSTLY
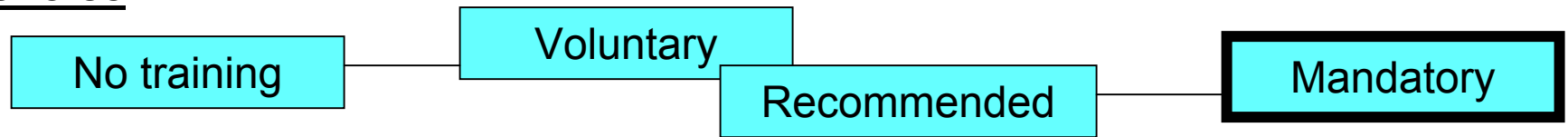 - THE EXCEPTION WOULD BE A VERY LIMITED EA ACTIVITY

COST EFFECTIVE COMPROMISE BY BALANCING THE THREE ELEMENTS

- FROM THE OPERATING AGENT´S POINT OF VIEW THE QUESTION IS "WHERE TO PUT THE AVAILABLE RESOURCES ?"

- RULE 1: ONE OF THE ELEMENTS MUST BE TIGHT

- TIGHT QUALITY CONTROL CAN COMPENSATE LIGHT OTHER OPTIONS

- LIGHT QUALITY CONTROL CAN BE APPLIED IF BOTH THE TRAINING AND THE AUTHORISATION ARE TIGHT

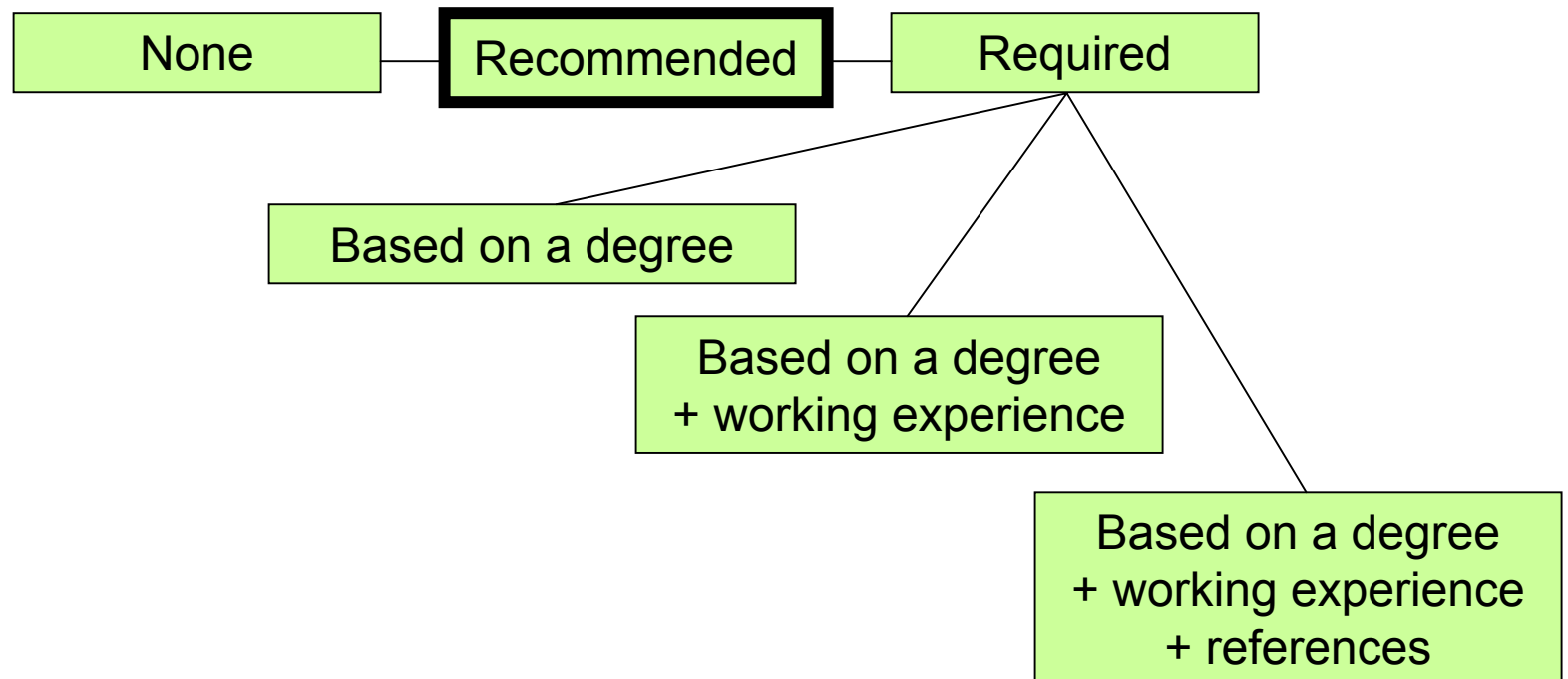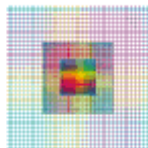- LIGHT TRAINING AND TIGHT AUTHORISATION ARE NOT A GOOD MATCH
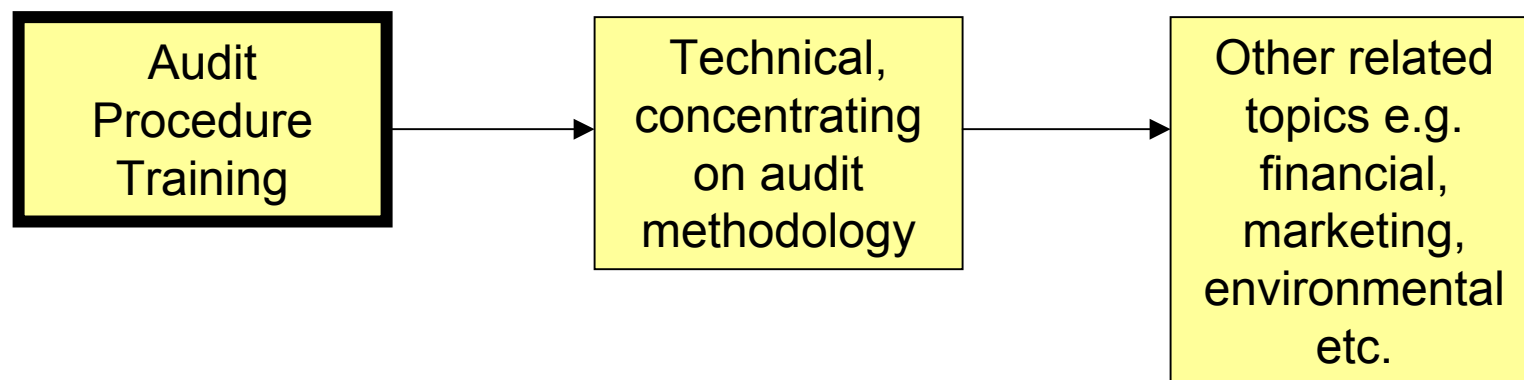
TRAINING - THE CHOICES

1. Basic choice

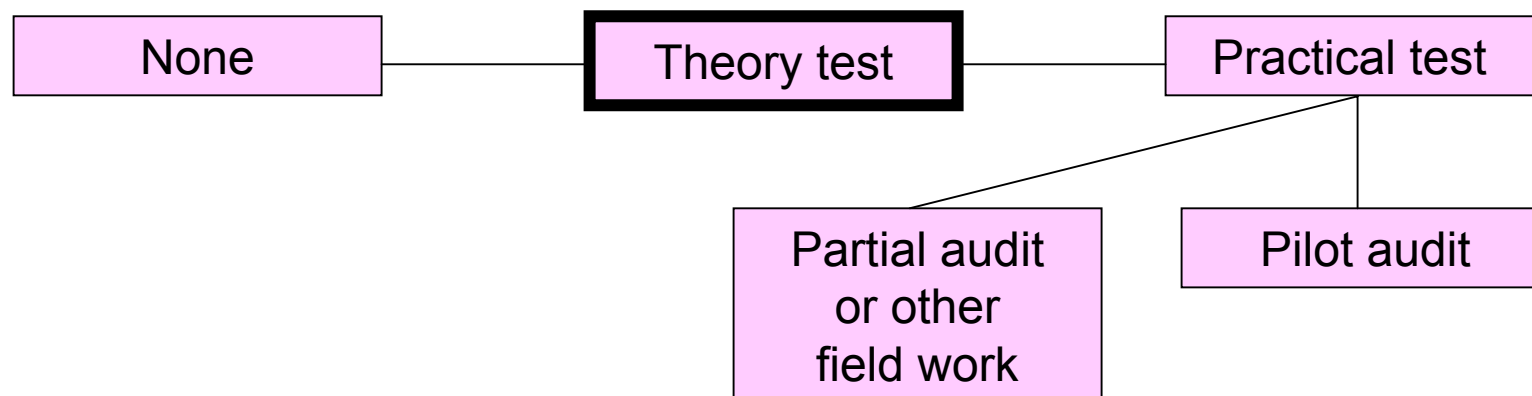| No training | Voluntary | Recommended | Mandatory |

2. Pre-qualification

| None | Recommended | Required |

Based on a degree

Based on a degree + working experience

Based on a degree + working experience + references

TRAINING - THE CHOICES

3. Content of training

| Audit Procedure Training | → | Technical, concentrating on audit methodology | → | Other related topics e.g. financial, marketing, environmental etc. |

4. Indication of competence

| None | Theory test | Practical test |

Partial audit or other field work
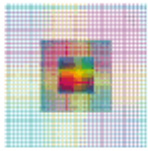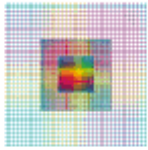
Pilot audit

TRAINING - THE CHOICES

5. Organiser of training

Subcontractor as administrator and organiser	OA as administrator, subcontractor as organiser	OA both as administrator and organiser

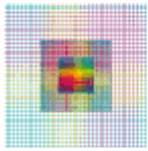## 6. Cost of training

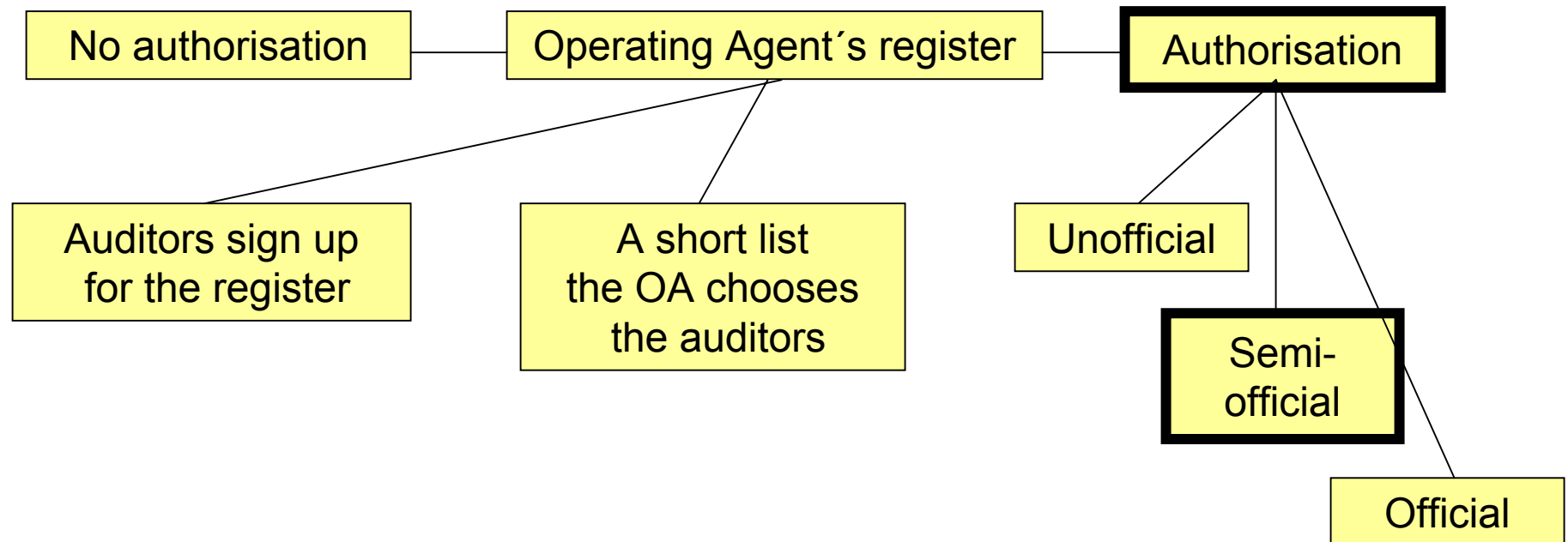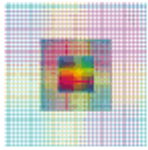| Low	Medium "market price"	High
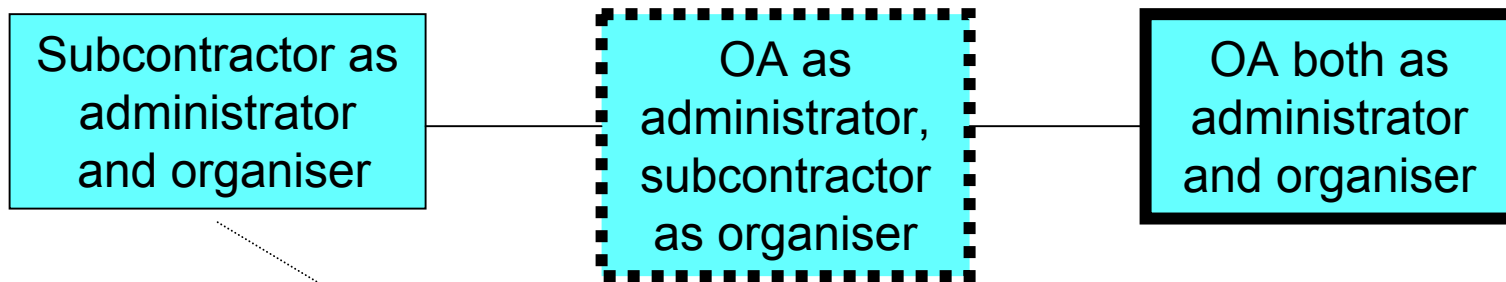
THE STATE OF THE ART TRAINING

• MANDATORY

• PRE-QUALIFICATION REQUIRED

• TECHNICAL TRAINING

• THEORY TEST + PRACTICAL TEST WITH A PILOT AUDIT

• OPERATING AGENT AT LEAST THE ADMINISTRATOR

• COST OF TRAINING MEDIUM OR HIGH

+ REGULAR EXTENSION COURCES AND MANDATORY ANNUAL MEETINGS
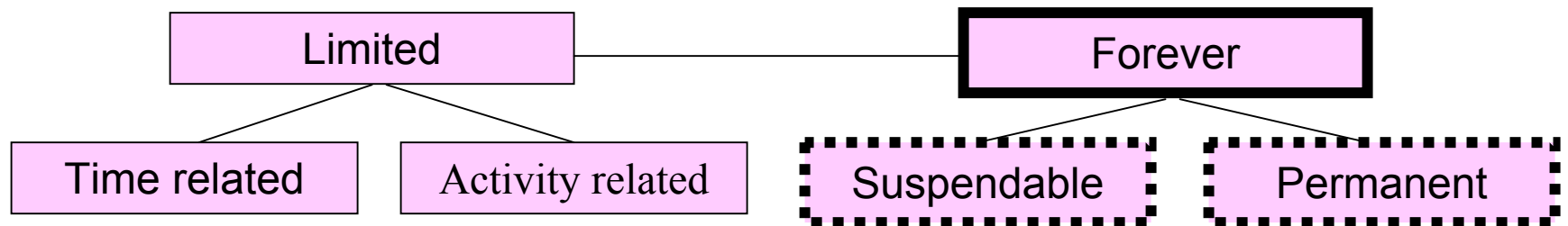
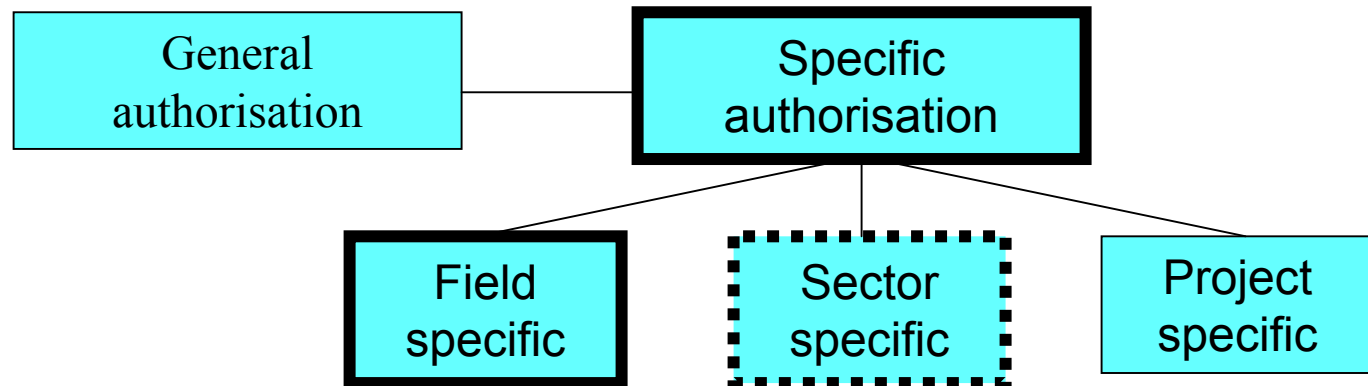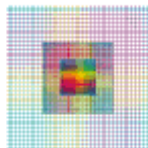# AUTHORISATION - THE CHOICES

1. Basic choice
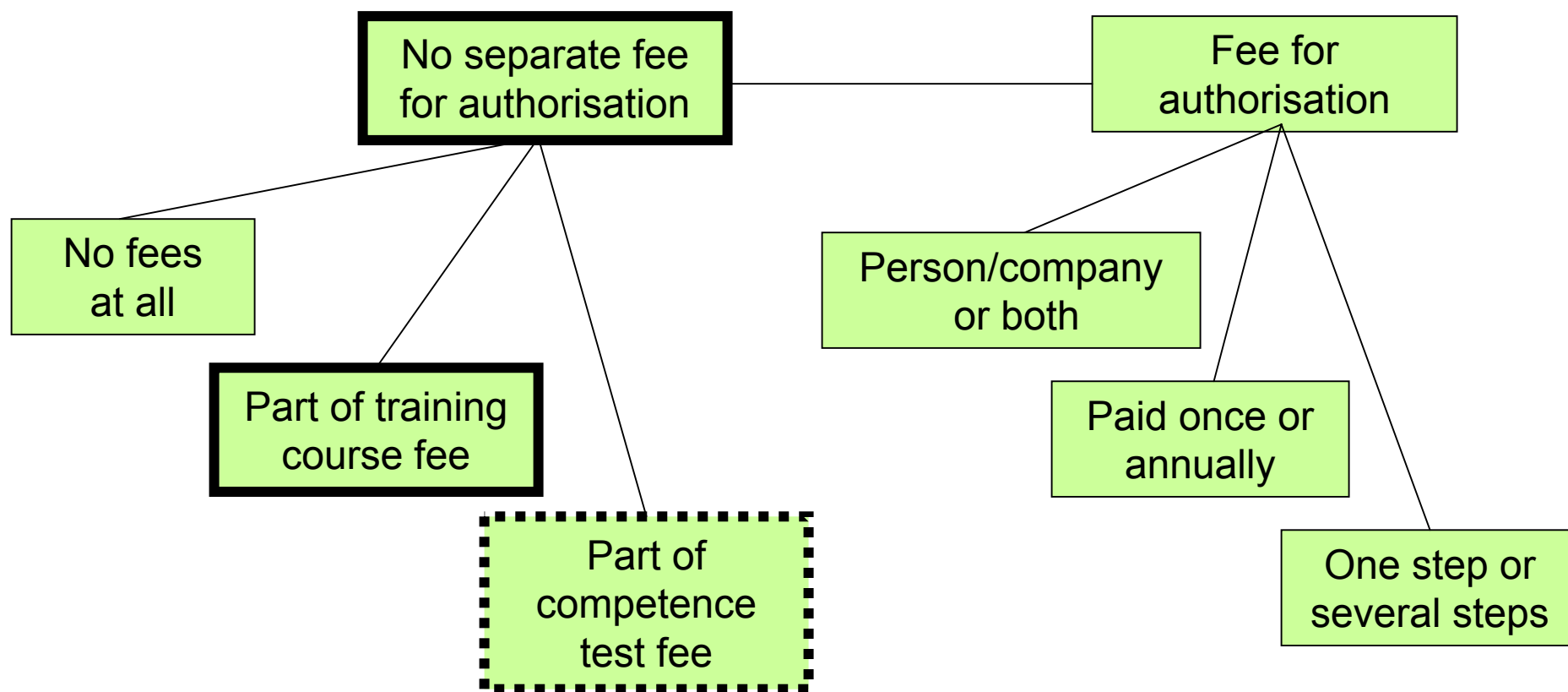
AUTHORISATION - THE CHOICES

2. Duration of validity

```
┌─────────────────┐                    ┌─────────────────┐
│     Limited     │────────────────────│     Forever     │
└─────────────────┘                    └─────────────────┘
     /        \                            /          \
┌──────────┐  ┌──────────────┐    ┌──────────────┐  ┌──────────────┐
│  Time    │  │   Activity   │    │ Suspendable  │  │  Permanent   │
│ related  │  │   related    │    └──────────────┘  └──────────────┘
└──────────┘  └──────────────┘
```

3. Area of validity

```
┌─────────────────┐                    ┌─────────────────┐
│    General      │────────────────────│    Specific     │
│  authorisation  │                    │  authorisation  │
└─────────────────┘                    └─────────────────┘
                                        /       |       \
                          ┌──────────┐  ┌──────────────┐  ┌──────────┐
                          │  Field   │  │    Sector    │  │ Project  │
                          │ specific │  │   specific   │  │ specific │
                          └──────────┘  └──────────────┘  └──────────┘
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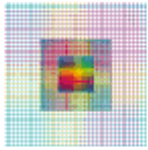
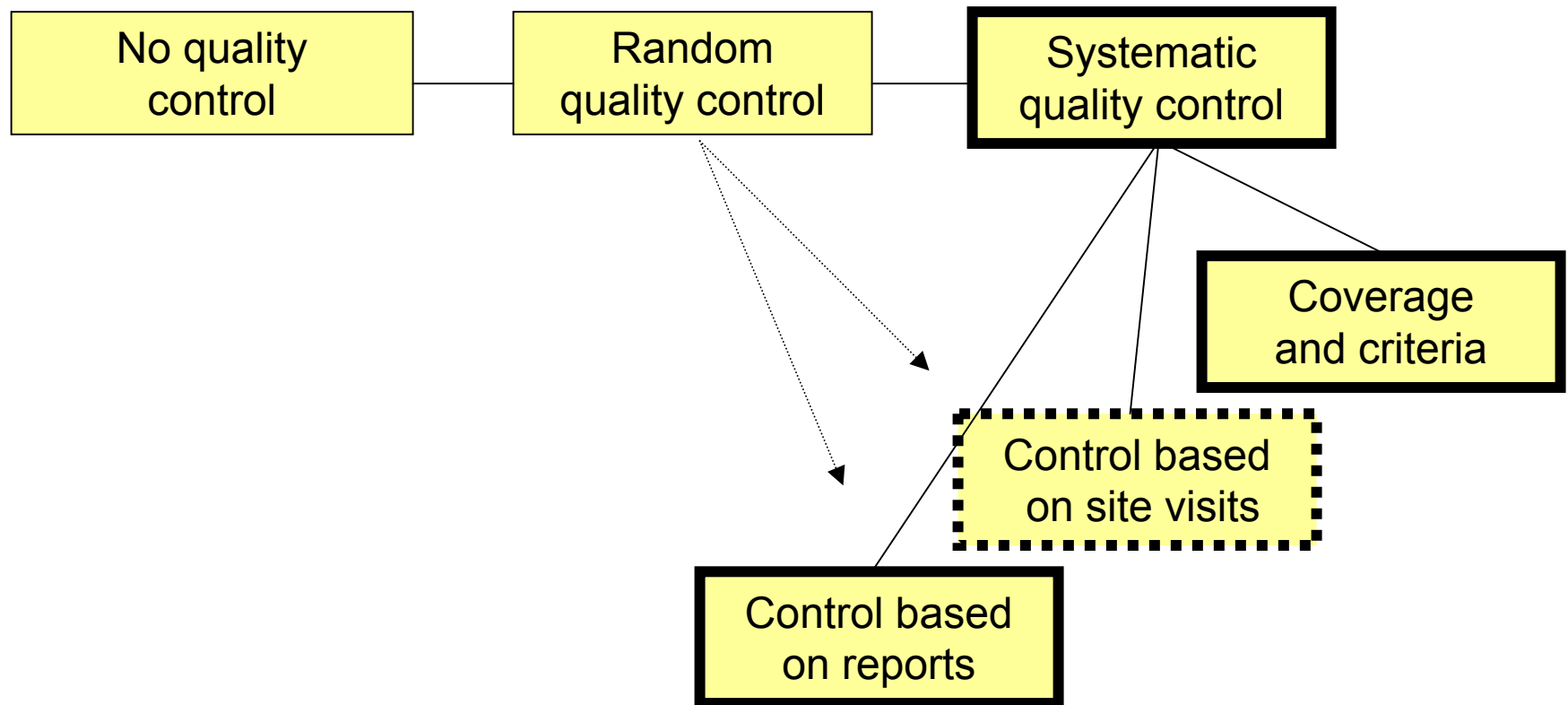# AUTHORISATION - THE CHOICES

4. Cost for authorisation
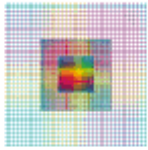
THE STATE-OF-THE-ART AUTHORISATION

- SEMI-OFFICIAL FOR PERSONS COMBINED WITH OA´S REGISTER ON SHORT LISTED COMPANIES

- DURATION OF VALIDITY LIMITED TO 2 YEARS (PERSONAL) AND SHORT LIST OF COMPANIES UPDATED ANNUALLY

- AREA OF VALIDITY: BOTH FIELD & SECTOR SPECIFIC AUTHORISATIONS IN FORCE

- ANNUAL FEE (M/H) FOR COMPANIES, ONE FIXED FEE (M) FOR AUDITORS

+ OTHER OFFICIAL AUTHORISATIONS NEEDED FOR THE AUDITING WORK MUST BE CLEARLY SPECIFIED
+ CLEAR RULES FOR MISCONDUCT AND SANKTIONS
+ OA´S LEGAL POSITION SECURED IN CASE OF DISPUTE ON SANKTIONS
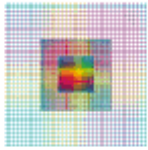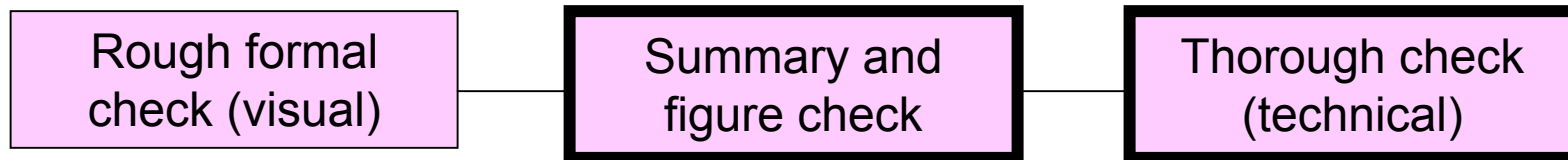
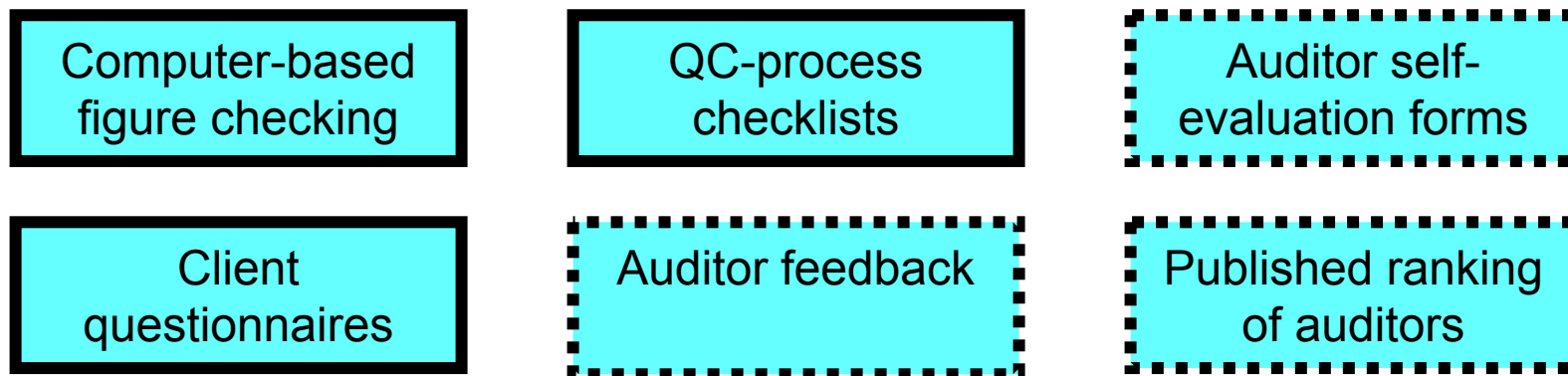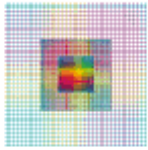# QUALITY CONTROL - THE CHOICES

1. Basic choice
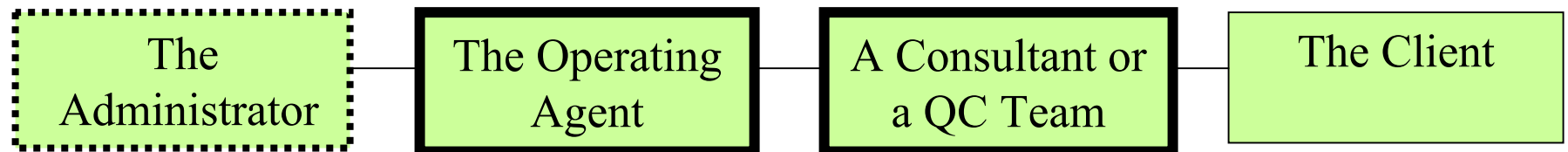
QUALITY CONTROL - THE CHOICES

2. Thoroughness of QC

Rough formal check (visual)	Summary and figure check	Thorough check (technical)

3. Tools for QC

Computer-based figure checking	QC-process checklists	Auditor self-evaluation forms
Client questionnaires	Auditor feedback	Published ranking of auditors

QUALITY CONTROL - THE CHOICES

4. Performer of QC

The Administrator	The Operating Agent	A Consultant or a QC Team	The Client

5. Connection to subsidies
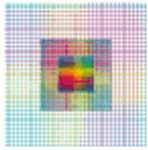
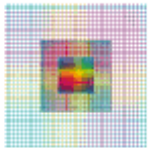| Subsidy paid before QC	Subsidy paid after QC
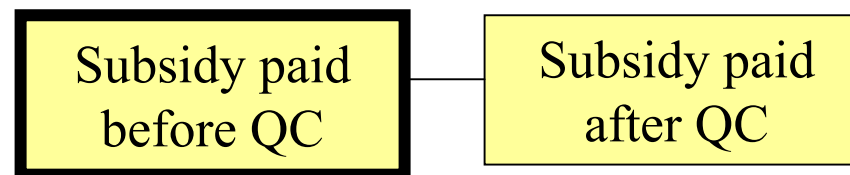
THE STATE-OF-THE-ART QUALITY CONTROL

- SYSTEMATIC QC COVERING ALL <u>PROJECTS</u>

- CHECKING AUDIT REPORTS BUT ON-SITE QC-AUDITS SHOULD ALSO BE POSSIBLE

- SUMMARY AND FIGURE CHECK FOR ALL REPORTS

- THOROUGH CHECK FOR ONE OR A FEW SELECTED REPORTS FROM EACH PROJECT

- QC WORK CARRIED OUT BY "PROFESSIONAL" CONTROLLERS, EITHER THE OA OR A TEAM OF HANDPICKED CONSULTANTS WITH AUDITOR EXPERIENCE

THE STATE-OF-THE-ART QUALITY CONTROL

• QC TOOLS UTILIZED (Depending on the size of the programme)

• QC WORK PAID BY THE ADMINISTRATOR, "SECOND ROUNDS" BY THE AUDITORS IN CONCERN

• SUBSIDY PAID AFTER THE QC

+ INTRODUCE A (PUBLIC) GRADING SYSTEM

+ GOOD CO-OPERATION BETWEEN THE OA AND THE AUDITORS

THE PROCESS IS ITERATION

TRAINING
- OPTIONS
- PROS AND CONS
- DECISION

QC
- DECISION
- PROS AND CONS
- OPTION

AUTHORISATION
- OPTIONS
- PROS AND CONS
- DECISION

60 € + 15 € + 25 € =